

06-05-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 0899   |
| First Inventor         | James Weifu Lee  |
| Title                  | Catalyst-Induced Growth of Carbon Nanotubes on Tips of Cantilevers and Nanowires |
| Express Mail Label No. | EF070545438US  |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Pages     ]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Labelor ☐ Correspondence address below

Name

24298

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Joseph A. Marasco

Registration No. (Attorney/Agent)

32,798

Signature

Date

6-4-2001

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**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 710.00)**Complete if Known**

|                      |                 |
|----------------------|-----------------|
| Application Number   |                 |
| Filing Date          |                 |
| First Named Inventor | James Weifu Lee |
| Examiner Name        |                 |
| Group Art Unit       |                 |
| Attorney Docket No.  | 0899            |

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |                  |
|------------------------|------------------|
| Deposit Account Number | 13-1958          |
| Deposit Account Name   | UT-Battelle, LLC |

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:**

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description        | Fee Paid |
|------------------------|------------------------|------------------------|----------|
| 101 710                | 201 355                | Utility filing fee     | 710      |
| 106 320                | 206 160                | Design filing fee      |          |
| 107 490                | 207 245                | Plant filing fee       |          |
| 108 710                | 208 355                | Reissue filing fee     |          |
| 114 150                | 214 75                 | Provisional filing fee |          |

**SUBTOTAL (1)** (\$ 710.00)**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 13                 | -20** = 0    | 18             | 0        |
| 2                  | -3** = 0     | 80             | 0        |
| Multiple Dependent |              |                | 0        |

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  |
|------------------------|------------------------|--|
| 103 18                 | 203 9                  | Claims in excess of 20                                     |
| 102 80                 | 202 40                 | Independent claims in excess of 3                          |
| 104 270                | 204 135                | Multiple dependent claim, if not paid                      |
| 109 80                 | 209 40                 | ** Reissue independent claims over original patent         |
| 110 18                 | 210 9                  | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  | Fee Paid |
|------------------------|------------------------|--|----------|
| 105 130                | 205 65                 | Surcharge - late filing fee or oath  |          |
| 127 50                 | 227 25                 | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130                | 139 130                | Non-English specification  |          |
| 147 2,520              | 147 2,520              | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*               | 112 920*               | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840*             | 113 1,840*             | Requesting publication of SIR after Examiner action                        |          |
| 115 110                | 215 55                 | Extension for reply within first month                                     |          |
| 116 390                | 216 195                | Extension for reply within second month                                    |          |
| 117 890                | 217 445                | Extension for reply within third month                                     |          |
| 118 1,390              | 218 695                | Extension for reply within fourth month                                    |          |
| 128 1,890              | 228 945                | Extension for reply within fifth month                                     |          |
| 119 310                | 219 155                | Notice of Appeal   |          |
| 120 310                | 220 155                | Filing a brief in support of an appeal                                     |          |
| 121 270                | 221 135                | Request for oral hearing   |          |
| 138 1,510              | 138 1,510              | Petition to institute a public use proceeding                              |          |
| 140 110                | 240 55                 | Petition to revive - unavoidable   |          |
| 141 1,240              | 241 620                | Petition to revive - unintentional   |          |
| 142 1,240              | 242 620                | Utility issue fee (or reissue)   |          |
| 143 440                | 243 220                | Design issue fee   |          |
| 144 600                | 244 300                | Plant issue fee  |          |
| 122 130                | 122 130                | Petitions to the Commissioner  |          |
| 123 50                 | 123 50                 | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180                | 126 180                | Submission of Information Disclosure Stmt                                  |          |
| 581 40                 | 581 40                 | Recording each patent assignment per property (times number of properties) |          |
| 146 710                | 246 355                | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710                | 249 355                | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710                | 279 355                | Request for Continued Examination (RCE)                                    |          |
| 169 900                | 169 900                | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ )**SUBMITTED BY**

Complete (if applicable)

|                   |                   |                                   |        |           |              |
|-------------------|-------------------|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Joseph A. Marasco | Registration No. (Attorney/Agent) | 32,798 | Telephone | 865.574.4178 |
| Signature         |                   |                                   |        | Date      | 6-4-2001     |

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